DoD 4100.39-M VOLUME 7

# FEDERAL LOGISTICS INFORMATION SYSTEM

FLIS PROCEDURES MANUAL
ESTABLISH/MAINTENANCE OF
ORGANIZATIONAL ENTITY AND
PROVISIONING SCREENING
MASTER ADDRESS TABLE



# ESTABLISHMENT/MAINTENANCE, OE MASTER FILE (CAGE/NCAGE)

#### 7.1.1 Introduction

- a. The procedures in this chapter prescribe the input modes/formats and instructions to be followed by activities/agencies when submitting requests to the Defense Logistics Information Service (DLIS) for processing new code assignments and/or maintenance actions for:
- (1) Commercial and Government Entity Code (CAGE). A five-position alphanumeric code with a numeric in the first and last positions (e.g., 27340, 2A345, 2AA45, or 2AAA5), assigned to United States and Canadian organizations which manufacture and/or control the design of items supplied to a Government Military or Civil Agency or assigned to United States and foreign organizations, primarily for identifying contractors in the mechanical interchange of data required by MILSCAP and the Service/Agency automatic data processing (ADP) systems. The CAGE data provides the data base for the LOLA and FEDLOG application and the H series products on one CD-ROM (See volume 15, chapter 15.9)
- (2) NATO Commercial and Government Entity (NCAGE) Code. A five position alphanumeric code requiring an alpha in either the first or last position (e.g., AA123, 3AAAA, AAAA3, K2345 or 2345K), assigned to organizations located in North Atlantic Treaty Organization (NATO) member nations (excluding U.S. and Canada) and other foreign countries which manufacture and/or control the design of items supplied to a Government Military Activity or Civil Agency. The NCAGE data provides the data base for the LOLA and FEDLOG application and the H series products on one CD-ROM. (See volume 15, chapter 15.9)
- b. Terminology. The FLIS data base documentation in many instances references the term Organizational Entity (OE) File/Sector. As a matter of clarification, the term "Organizational Entity" or OE in this portion of the procedures manual, pertains/relates exclusively to the CAGE/NCAGE coding system.
- c. The FLIS design features of the DLIS OE Master CAGE/NCAGE File provide for submission of multi-media type input in a mechanized format. Resulting output from DLIS will be incorporated into the mechanized systems of recorded recipient Services and Agencies. (See volume 10, table 134 for DLIS/foreign governments responsible for assigning and maintaining CAGE/NCAGE).
- d. Submission mode of proposed input transactions will be by an on-line system input by DLIS only.
  - e. Requests for new CAGE Codes will be submitted in one (1) of the following fashions:

- (1) DD Form 2051 When this method of requesting a new CAGE Code is used, Section A of the form must be completed by a government activity/agency or by a Procurement Technical Assistance Center. Section B of the form may be completed by the company involved. (See appendix 7-1-A)
- (2) NATO Form AC/135-NR2 This method will be used by NATO countries when requesting codes for firms located in the United States (See appendix 7-1-B)
- (3) Electronic Commerce/Electronic Data Interchange (EC/EDI) When a firm registers their intent to do business with the Federal Government using EC/EDI precepts, they may also submit their request for a new CAGE Code directly to DLIS using the ANSI-X12 838 Transaction set.
- (4) Information regarding the submittal of an 838 Transaction may be obtained from the Electronic Commerce Information Center (ECIC) using one (1) of the following:
  - (a) Voice Phone 1-800-EDI-3414 or (703) 681-0211
  - (b) FAX Phone (703) 681-0349
  - (c) Email dodedi@acq.osd.mil
  - (d) Regular mail -

Electronic Commerce Programs Office 5111 Leesburg Pike, Suite 9104 ATTN: EC Information Center Falls Church, VA 22041

- (5) Requests for maintenance actions received directly from the manufacturer will continue to be processed by DLIS regardless of the media received.
  - (6) Letters and/or forms concerning the CAGE Code System will be directed to:

Commander
Defense Logistics Information Service
ATTN: DLIS-SBB
Federal Center
74 N. Washington
Battle Creek, MI 49017-3084

- f. Prior to submission of a request for code assignment or maintenance action, activities/ agencies will screen their files to ensure a CAGE/NCAGE has not already been assigned or updated for that particular organizational entity. The Defense Logistics Information Service sends out computer-generated letters to coded contractors requesting verification of the organization's status, making one complete cycle of the file annually. This factor should be considered; however, an activity/agency should not withhold information available concerning an O.E. because of this process.
  - g. The following references contain explicit instructions concerning formats and prepara-

tion of CAGE/NCAGE data to be forwarded to DLIS.

#### REFERENCE CONTENT

Appendices <u>7-1-A</u> and <u>7-1-B</u> Preparation of Forms <u>Volume 10, chapter 10.3</u> Codes/Tables for CAGE/NCAGE

- h. Maintenance of FLIS Data Base. Following DLIS approval/processing of a transaction wherein a CAGE/NCAGE is cancelled and replaced by a CAGE/NCAGE involving one or more part numbers, a mass change of FLIS data base records will result from DLIS machine-generated LAR/LDR transactions. DLIS will in turn provide the applicable activity/agency data receivers appropriate file maintenance data on KAR, KCR, and KDR transactions for updating their National Item Identification Number (NIIN) file records.
- i. The OE Master File is the basis for the H series on CD-ROM product. Procedures governing these publications are contained in volume 15, chapter 15.9.

# 7.1.2 Add Total New Commercial and Government Entity or NATO Commercial and Government Entity Code

This section describes the criteria governing the assignment of new CAGE/NCAGE data, subsequently referred to as OE Type A - Manufacturers; Type E - NATO Manufacturers; and Type F - Non-manufacturers.

- a. Add Total OE Record Type A CAGE Code.
- (1) Activities/agencies will ensure that prior to submitting a request to DLIS for the assignment of a new CAGE Code number that the code is in fact required for design documentation and/or operations pertaining to cataloging a new item or adding a new source of supply to an item already cataloged. In this regard, the code will be requested after the item has been procured from the new source and not before a solicitation has been made.
- (2) The following kinds of organizations/functions are eligible for CAGE Code assignments:
- (a) Manufacturing organizations that are the sources from which items of supply are obtained for use in the Federal Supply System.
- (b) Commercial organizations that control the design of items used by the Federal Government but do not necessarily manufacture nor sell directly to the Government.
- (c) Manufacturing organizations that produce items of industrial production equipment, and whose items are published in Industrial Plant Equipment Handbooks. (The manufacturer's code is published in conjunction with the Plant Equipment Codes assigned to the individual items of a given manufacturer.)
- (d) Distributors who are sole sources of supply for items which cannot be purchased directly from the manufacturer located in the U.S., Canada, or any NATO member nation.

- (e) Government agencies that manufacture items entering the Federal Supply or Military Industrial Systems, or control the design of such items without actually manufacturing them.
- (f) Manufacturers who supply materials for incorporation into the products of contractors who provide drawings of these products to the Government under MIL-D-1000, MIL-STD-100, or MIL-STD-804.
- (g) Manufacturers which require that a factory source code be "stamped or imprinted" in accordance with various military specifications/standards such as MIL-E-1 and MIL-STD-130.
- (h) Various kinds of Government specifications, and certain Government organizations connected with the development of standards and/or specifications.
- (i) The OE Master File is the basis for H4, NATO Commercial and Government Enity (NCAGE) Code, and LOLA and FEDLOG CAGE inquiry applications. Procedures governing the H4 publication is contained in <u>volume 15</u>, chapter 15.9 and LOLA Procedures in <u>volume 16</u>.
- (3) Requests for new CAGE Code assignments to Government organizations or specifications and standards promulgated by Government organizations must be submitted on the letterhead of the agency/activity to which the code is to be assigned. They must specify the type of drawings, items, or documents controlled.
  - b. Add Total OE Record Type F CAGE Code.
- (1) Submitting activities will ensure that the CAGE Code assignment is required for identifying an organization/function in MILSCAP, bid abstracts, purchase documents, and/or other documents pertaining to the contract/purchase agreement as required by DoD 41000.25-5-M MILSCAP Manual; Armed Services Procurement Regulation (ASPR); DoD Procurement Manual; and the DoD procurement circulars.
- (2) The following kinds of organizations/functions are eligible for Type F CAGE Code assignments:

Manufacturing organizations not qualifying for a Type A CAGE Code.

Distributors.

Sales offices.

Retail establishments.

Service organizations.

Wholesale or jobbing establishments.

Professional organizations, including engineering.

Construction and mining firms.

Banks and universities.

Any other nongovernment organizations which must be identified in MILSCAP data interchange.

c. Add Total OE Record - Type E - NCAGE.

- (1) Only specific foreign codification authorities are presently empowered to assign NCAGEs to manufacturers or other organizational entities located in NATO and non-NATO countries (excluding U.S.).
- (a) Requests for NCAGE assignments to facilities located in NATO or non-NATO countries may be initiated by U.S. manufacturers and manufacturers located in non-NATO countries, and by U.S. Military Activities/Civil Agencies. Routine requests may be submitted to DLIS (ATTN: SBB) for transmittal to the proper foreign codification authority which in turn processes the request and notifies DLIS of the code assignment. DLIS then confirms the code assignment to the requester. Routine NCAGE assignments take approximately 60 days to process.
- (b) The requesting facility will submit to DLIS (ATTN: SBB) a completed DD Form 2051, Request for Assignment of CAGE Code/Contractor, accompanied by a letter of transmittal. The letter will enable DLIS to expedite confirmation of the NCAGE to the requester.
- (c) For expedited assignment of NCAGEs to facilities located in NATO or non-NATO countries, FAX a DD Form 2051 as per paragraph 7.1.2.c(1)(b) to DLIS-SBB at DSN 932-4528 or commercial 616-961-4528. Expedited NCAGE assignments take approximately 30 days to process. For emergency assignment of NCAGEs, the manufacturer or other entity for which NCAGE assignment is required may apply directly to the National Codification Bureau (NCB) of the country in which the entity is located (for NATO countries) or to the NATO Maintenance and Supply Agency (NAMSA) (for non-NATO countries). The entity would apply for NCAGE assignments via FAX using a NATO Form AC/135 No. 2 (see appendix 7-1-B for instructions). For the FAX number of the applicable NCB or NAMSA, contact DLIS-SD at DSN 932-4328 or commercial 616-961-4328. However, the entity applying for the NCAGE should ensure that notification of the NCAGE assignment is sent by FAX to DLIS-SBB at DSN 932-4528 or commercial 616-961-4528. Emergency NCAGE assignments take approximately 3 business days to process.
- (2) Activities/Civil Agencies will ensure that prior to submitting a request to DLIS for the assignment of an NCAGE that the code is in fact required for design documentation and/or item identification. An NCAGE will be requested after the item has been procured from the new source and not before a solicitation has been made.
- (3) The following kinds of non-NATO foreign organizations/functions are eligible for NCAGE assignments in connection with Federal supply cataloging operations:
- (a) Manufacturers, distributors, or other entities that are the sources from which items of supply are obtained for use in the Federal Supply System.
- (b) Commercial organizations that control the design of items used by the Federal Government, but do not necessarily sell directly to the Government.
- (c) Manufacturing organizations that produce items of industrial production equipment, and whose items are published in Industrial Plant Equipment Handbooks.(The

manufacturer's code is published in conjunction with the Plant Equipment Codes assigned to the individual items of a given manufacturer.)

- (d) Manufacturers who supply materials for incorporation into the products of contractors who provide drawings of these products to the Government under MIL-D-1000, MIL-STD-100, or MIL-STD-804.
- (e) Manufacturers which require that a factory source code be "stamped or imprinted" in accordance with military specifications/standards such as MIL-E-1 and MIL-STD-130.

#### 7.1.3 Change Data to an Existing CAGE/NCAGE Record

This section describes the criteria for external requests to DLIS for adding, changing or deleting permissive data elements to an existing CAGE/NCAGE record.

- a. Change Data to an Existing OE Record Types A and F. Requests for maintenance actions will be submitted to DLIS on a DD Form 2051 or correspondence prepared and signed by an official of the firm.
- b. Change data to an existing OE Record Type E. DLIS will make the change solely at the direction of a specific foreign codification authority through the medium of correspondence and amendments or supplements.

#### 7.1.4 Cancel Total CAGE/NCAGE Code Record

This section describes the criteria for requesting a cancel OE transaction. These transactions will be used to change an OE's status to cancelled with or without replacement. They will not purge the record from the file in its entirety, but will purge such data as Post Office box number and street address. The only time a CAGE/NCAGE will be considered as a replacement for another code is when the succeeding firm has acquired all design, manufacturing, and/or patent rights to all product lines manufactured by the defunct organization and this fact is substantiated in writing by the firms involved. The fact that a firm manufactures identical items, but did not acquire the rights of the defunct firm, does not qualify it as a replacement.

- a. Cancel Total OE Record Type A CAGE Code.
- (1) The information an activity/agency must submit to DLIS for evaluation purposes will include the following information as applicable:
- (a) Confirm that the coded facility has ceased all manufacturing operations. (In instances where a portion of the product lines have been discontinued or sold, a delete total CAGE Code transaction is not proper.)
- (b) If the coded facility has ceased all manufacturing operations in their entirety, determine if the operation was sold, including all design, manufacturing, and patent rights pertaining to items previously manufactured and furnished to the Government.

- (c) If all manufacturing operations of a defunct firm have been sold (including all manufacturing, patent rights, etc.), advise whether such operations were acquired by a single successor firm or if multiple successor firms are involved.
- (d) If all manufacturing operations of a defunct firm have been sold to a single successor firm, advise whether the successor firm has previously been assigned an CAGE Code.
- (e) If all manufacturing operations of a defunct facility have been merged into one affiliated facility, advise whether the acquiring facility has previously been coded.
- (2) If the proposed transaction does not include a replacement CAGE Code, the accompanying correspondence will contain just that information listed above which is necessary to ascertain that the organization is, in fact, defunct.
- (3) If the proposed transaction does include a replacement CAGE Code, the accompanying correspondence will provide the information listed in paragraph <u>7.1.4.a(1)</u> necessary to ascertain that the replacement CAGE Code submitted is proper.
- (4) If there is a known successor firm, but that firm is not coded, the pertinent information listed in paragraph 7.1.4.a(3) will be submitted to DLIS with the complete name and address of the successor organization. If, after evaluation, DLIS determines that a code should be obtained for the successor organization and a cancel/replace transaction submitted, such action will be taken by DLIS.
- b. Cancel Total OE Record Type F CAGE Code. The information an activity/agency must submit to DLIS for evaluation purposes will include the following information as applicable:
  - (1) Indicate that the coded facility has ceased all operations, and is in fact defunct.
- (2) If the coded facility has ceased all operations in its entirety, determine if the facility was sold.
- (3) If the operations of a defunct firm have been sold, determine if acquired by one single successor firm or if multiple successor firms are involved.
- (4) If all operations of a defunct firm have been sold to or merged with a single successor firm, determine if successor firm has previously been assigned a CAGE Code.
- c. Cancel Total OE Record Type E NCAGE. A cancel Total OE transaction will be accomplished only by DLIS solely at the direction of a specific foreign codification authority through the medium of correspondence and amendments or supplements thereto. DLIS will prepare the documents.

#### 7.1.5 Reinstate Cancelled CAGE/NCAGE Record

This section describes the criteria for external requests to DLIS for reinstating OE records that are recorded on the DLIS OE Master File as cancelled.

- a. Reinstate Cancelled OE Record Types A and F. Requests for reinstatement actions will be submitted to DLIS on a DD Form 2051 or correspondence prepared by an official of the firm.
- b. Reinstate Cancelled OE Record Type E. DLIS will make the change solely at the direction of a specific foreign codification authority through the medium of correspondence.

#### 7.1.6 Outputs from Processing OE Master File Records

This section encompasses the output data distribution system employed by DLIS. Specific data receivers of OE file maintenance data are determined by each requiring Service/Agency. Output mode(s) for dissemination of data is predicated on the specific type of output transaction, data involved, and activity/agency mode of communication for receiving data from DLIS; i.e., electronic data transmission (message data), magnetic tape, correspondence, FAX, BBS, EDI, and telephone.

- a. NIIN File Maintenance Update. Following approval/processing of a Total OE input transaction containing a replacement OE code number involving one or more FLIS part numbers, DLIS will provide the applicable activity/agency receivers with appropriate FLIS file maintenance data for updating their NIIN file records. Update actions for deletion of a cancelled OE code and adding of a replacement OE code are accomplished by DLIS forwarding machine-generated KDR, KCR, and KAR transactions to data receivers.
- b. OE SSR File Maintenance Service (DIC KHN). Provides activities/agencies machine sensitive records to establish and maintain an OE file containing each assigned CAGE/NCAGE related data as recorded and maintained on the DLIS Master Consolidated CAGE/NCAGE File. This service is available only to recipients of the basic file. (See <a href="volume 8">volume 8</a>, <a href="chapter 8.2">chapter 8.2</a> for format.)
- (1) OE data includes Type OE Code, OE Code number, related names, street address (if available), city, state/country, Foreign/Domestic Designator, OE Replacement Code, OE Status Code, OE Designator, ZIP Code, Contract Administration Office (CAO), and Automatic Data Processing (ADP) Point (as applicable), and related socioeconomic data.
- (a) The OE Status Code designates a specific status condition related to an OE There may be two complete records for an OE; however, only one record is shown in a current status. (See volume 10, table 19)
- (b) The complete package for each CAGE/NCAGE consists of one or more records. Each record will be 80 positions in length.
- (2) Requests for OE Master file maintenance service will be processed through normal headquarters office channels to reach the Defense Logistics Information Service not less than 45 days prior to need. This will permit the release of the latest information available.
- (3) File maintenance is available by means of electronic data transamission (for telecommunications procedures controlling electronic transmission see <u>volume 2</u>, <u>paragraph 2.3.2.d</u>). Data records will be released on a daily basis.

- c. The basic OE Master File will be provided to agencies/activities on magnetic tape upon receipt of their written requirements, forwarded through their appropriate command head-quarters. The basic file will be contained on two reels of magnetic tape, provided by DLIS, and forwarded to the requesting activity by certified mail. Format will be in accordance with DIC KHN, volume 8, chapter 8.2.
  - (1) The basic file will contain OE File Maintenance Transaction Code 003 data only.
- (2) DLIS has the capability of providing tapes with any of the characteristics described in volume 10, table 10.
- d. The normal mode of output for OE will be electronic data transmission when the activity possesses electronic receiving capabilities.
- e. For those activities/agencies that do not possess electronic capabilities, notification of action taken will be in letter form except when CAGE Codes are assigned to U.S. firms for a NATO government. Then confirmation will be on NATO Form AC/135-NR.2, section B. (See appendix 7-1-B)

# CHAPTER 1 APPENDIX 7-1-A PREPARATION of DD FORM 2051

Requests for assignment of new CAGE Codes must be submitted on DD Form 2051. Blocks 1-4 will be completed by the agency/activity requesting the code. Blocks 5-13b will be completed and signed by an official of the firm to be coded.

When a CAGE Code is assigned on an emergency basis, the requesting agency/activity is responsible for assuring that a DD Form 2051 is properly completed and forwarded to DLIS within the specified time.

Following are examples of completed DD Forms 2051 for a code assignment and a request for an update of a previously assigned code.

The third illustration (Page 4) of this appendix reflects DD Form 2051 instructions as they appear on the reverse of the form.

REQUEST FOR ASSIGNMENT OF A COMMERCIAL AND GOVERNMENT ENTITY (CAGE) CODE (See Instructions on Reverse)					Form Approved OMB No. 0704-0225 Expires Oct 31, 1991	
Public reporting burden for this collection of information is estimated to everage 7 minutes per response, including the time for reviewing instructions, searching existing data sources, gethering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Department of Defense, Washington Headquarters Services, Directorate for information Operations and Reports, 1215 seffection Devis Highway, Suita 1204, Arlington, VA 22202-4802, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0225), Washington, DC 20503 Please DO NOT RETURN your form to either of these addresses. Send completed form to address on reverse						
	SEC	TON A - TO BE COM	APLETED BY INITIATO	R		
1. REQUESTING GOVERNMENT AGE	ICY / ACTIVI	TY				
a. NAME			b. ADDRESS (Street, City,	•		
DESC (728)  2. TYPE CODE REQUESTED (X one)	1 505557	IOH COREC	DAYTON,	OH 43215		
X a. TYPE A	a. CAO	NA	1			
b. TYPE F	b. ADP	NA	1			
4. INITIATOR						
a. TYPED NAMÉ (Last, First, Middle In	itial)	b. OFFICE SYMBOL	c. SIGNATURE		d. TELEPHONE NO.	
SMITH, JANE L.		DESC-SC			DSN 850-6129	
	SECTION	8-TO BE COMPLET	ED BY FIRM TO BE C	ODED		
1. FRM						
a. NAME (Include Branch of, Division of		······································	b. ADDRESS (Street, City,	State and Zip Code)		
ABC ELECTRONICS, IN			123 S. 2ND S			
c. CAGE CODE (If previously assigned	)		DAYTON, OH	15444		
2. IF FIRM PREVIOUSLY OPERATED L			3. PARENT COMPANY A	IND AFFILIATED FIRM	S (X one, and complete	
ADDRESS(ES) SPECIFY THE PREVIO (Use separate sheet of paper, if nec		S) AND/OR ADDRESS(ES)	as applicable)			
N. / D			X aNONE			
N/A			b. CURRENTLY AFFILIATED WITH OTHER FIRMS (List name(s)			
			and address(es) of such firms on a separate sheet of paper)			
				FFILIATED WITH OTH	ER FIRMS (List name(s)	
4. PRIMARY BUSINESS CATEGORY (X	one) 5, p	NSADVANTÆGED SMALL		6. NUMBER OF EMP		
X a MANUFACTURER		K one)		5.7		
b. DEALER/DISTRIBUTOR		a. APPROVED BY SMA		7. WOMAN OWNED	BUSINESS (X one)	
c. CONSTRUCTION FIRM			SECTION 8(a) PROGRAM	X a. YES	b NO	
d. SERVICE COMPANY  e. SALES OFFICE		b. OTHER DISADVANTA	AGED SMALL BUSINESS	8. STANDARD INDUSTRIAL CLASSIFICATIO (SIC) CODE(S)		
f. OTHER (Specify)		C. NOT DISADVANTAG	ED SMALL BUSINESS	a. PRIMARY 3615		
	x	FIRM		b. OTHER (Specify)		
9. REMARKS						
New Data Elements	If	available.	•			
FAX Number	· A +			Identifier		
Parent Taxpayer Identifier (9 digits) DUNS Number (9 digits) CEC (9 digits) Business Form Code (1 digit code)						
Contractor Planned	Produ	cer Code (Yes	Dusines:	s roim code	(1 digit code)	
CAGE Request Reason	n Code	(1 digit cod	le)			
Contractor Identit	y Char	nge Cođe (1 di	git code)			
Taxpayer Identifie	er Exem	nption Code (1	digit code)			
10. FIRM OFFICIAL						
a. TYPED NAME (Last, First, Middle II	nitial)	b. DATE SIGNED	c. SIGNATURE		d. TELEPHONE NO.	
CHARTER TO T		(YYMMDD)		E12 212 C71		
CHARLIE, ABLE B. DD Form 2051, JUN 90		950528		513-212-671		
UU FUITI AUJI, JUN 30		rrevious edit	ions are obsolete.		853/177	

REQUEST FOR ASSIGNMENT OF A COMMERCIAL AND GOVERNMENT ENTITY (CAGE) CODE (See Instructions on Reverse)  Form Approved ONE No. 0704-0225 Expires Oct 31, 1991					
Public reporting burden for this collection of information is estimated to average 7 information. Send comments regarding the time for reviewing instructions, searching existing data sources, gethering and mulnishing the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Department of Defense. Weshington Headquarters Services, Directorate for Information, Operations and Reports, 1215 Jeffesson Davia Highway, Suits 1264, Artington, VA 22202-1802, and to Office of Management and Budget, Paperwork Reduction Project (0704-0225), Washington, DC 20503. Please DO NOT RETURN your form to either of these addresses. Send completed form to address on reverse.					
SE	CTION A - TO BE CON	MPLETED BY INITIATO	OR		
1. REQUESTING GOVERNMENT AGENCY / ACT	MITY				
a. NAME		b. ADDRESS (Street, City	y, State and Zip Code)		
DCSC (724)	· · · · · · · · · · · · · · · · · · ·	COLUMBUS,	OH 43215		
2. TYPE CODE REQUESTED (Xone) 3. EXCE	PTION CODES	1			
a. TYPE A a. CAO		4			
X b. TYPE F b. ADP  4. INITIATOR	<del>.</del>	<u> </u>			
a. TYPED NAME (Last, First, Middle Initial)	b. OFFICE SYMBOL	c. SIGNATURE		d. TELEPHONE NO.	
CUTE, I. M.	DCSC-SC	C. SIGNAT ONE			
		TO BY COM TO SE		DSN 850-7721	
1. FRM	N B-TO BE COMPLET	ED BA HEW LO RE	COOED		
a. NAME (Include Branch of, Division of, etc.)		b. ADDRESS (Street, City	, State and Zip Code)		
JONES & SMITH, INC		640 S. BROAD			
c. CAGE CODE (If previously assigned)		COLUMBUS, ON	43216		
LABC6					
2. IF FIRM PREVIOUSLY OPERATED UNDER OF ADDRESS(ES) SPECIFY THE PREVIOUS NAM (Use separate sheet of paper, if necessary)		3. PARENT COMPANY / at applicable)	AND AFFILIATED FIRMS	X one, and complete	
		X a. NONE			
JONES MACHINE SHOP			· · · · · · · · · · · · · · · · · · ·		
619 S. 12TH STREET		b. CURRENTLY AFFILIATED WITH OTHER FIRMS (List name(s) and address(es) of such firms on a separate sheet of paper)			
COLUMBUS, ON 43215					
<u> </u>		c. PREVIOUSLY AFFILIATED WITH OTHER FIRMS (List name(s) and address(es) of such firms on a separate sheet of paper)			
	DISADVANTAGED SMALL (X one)	BUSINESS STATUS 6. NUMBER OF EMPLOYEES 99			
a MANUFACTURER b DEALER/DISTRIBUTOR					
X c. CONSTRUCTION FIRM	a. APPROVED BY SMAL TRATION (SBA) FOR	L BUSINESS ADMINIS- SECTION 8(a) PROGRAM	7. WOMAN OWNED BE	X b. NO	
d. SERVICE COMPANY	6. OTHER DISADVANTA		14.753   0.		
e. SALES OFFICE	FIRM	OLD SHIELD BOSHIESS	(SIC) CODE(S)	DARD INDUSTRIAL CLASSIFICATION CODE(S)	
f. OTHER (Specify)	c. NOT DISADVANTAGE	ED SMALL BUSINESS	a. PRIMARY 3712		
	FIRM		b. OTHER (Specify)		
9. REMARKS		<u></u>		. "	
New Data Elements If a	vailable.				
FAX Number	Tax	payer Identifier	(9 digits)		
Parent Taxpaver	Identifier DUN	NS Number (9 dia	its)		
Parent Taxpayer Identifier DUNS Number (9 digits) CEC (9 digits) Business Form Code (1 digit code)					
Contractor Planned Producer Code (Yes/No)					
CAGE Request Reason Code (1 digit code)					
Contractor Identity Change Code (1 digit code)					
Taxpayer Identifier Exemption Code (1 digit code)					
10. FIRM OFFICIAL					
a. TYPED NAME (Last, First, Middle Initial)	b. DATE SIGNED (YYMMDD)	c. SIGNATURE		d. TELEPHONE NO.	
U. R. NICE	950529			999-999-9999	
				\$53V177	

#### INSTRUCTIONS FOR COMPLETING DD FORM 2051

#### GENERAL NOTE FOR PERSONNEL PREPARING OR PROCESSING THIS REPORT

Coding must be as indicated in the instructions. In cases where specific coding instructions are provided, reference must be made to the Department of Defense Manual for Standard Data Elements, DoD 5000.12-M. Noncompliance with either the coding instructions contained herein or those published in referenced manual will make the organization which fails to comply responsible for required concessions in data base communication.

	SPECIFIC IN	STRUCTIO	vs				
SECTION A-TO BE COMPLETED BY THE INITIATING GOVERNMENT ACTIVITY			SECTION 8 - (Continued)				
item 1:	Self-explanatory.	item 4:	Self-explanatory.				
item 2:	Mark the type of code being requested.  Type A - Manufacturers Code which is used in the Federal Catalog System to identify a certain facility at a specific location which is a possible source for the manufacture and/or design control of items cataloged by the Federal Government; or,	Item 5;	A disadvantaged business firm is defined as a firm that is 51%, or more, owned, controlled, and operated by a person(s) who is socially and economically disadvantaged. "Controlled" is defined as exercising the power to make policy decisions. "Operated" is defined as actively involved in the day-to-day management of the firm.				
b.	Type F - Non-manufacturers Code which is required for identifying an organization/	item 6:	Enter the number of amployees. This number should include the employees of all affiliates.				
function in MILSCAP. These are assigned to contractors which are non-manufacturers of are manufacturers not qualifying for a Type of Code.		item 7:	A woman-owned business is defined as a firm that is \$1%, or more, owned, controlled, and operated by a woman or women. "Controlled" and "Operated" are as defined in Item 5.				
Item 3:	If applicable, enter the exception DoD Activity Address Code for the Servicing Contract Ad- ministration Office (CAO) or ADP point.	item 8:	The SIC Code is a Government Index used to identify business activity and indicates the function (manufacturer, wholesaler, retailer,				
Item 4:	Self-explanatory.		or service) and the line of business in which the company is engaged. If multiple SIC Codes, indicate the primary first, next important, etc.				
SECTION	ON 8 - TO BE COMPLETED BY THE FIRM TO WHICH THE CODE WILL BE ASSIGNED	items 9	and 10: Self-explanatory.				
Items 1a	and 1b: Self-explanatory,	NOTE:	When any future changes are made to the				
item 1c:	if a CAGE Code (Type A or Type F) was previously essigned, enter it in this block.		coded facility; i.e., name change, location change, business sold or operations discontinued, etc., written notification stating the appropriate change should be sent to:				
Item 2:	Self-explanatory.		Commander				
Item 3:	If a block other than "None" is marked, identify the Parent company by a (P) beside the firm name.		Defense Logistics Services Center ATTN: DLSC-FBA Federal Center 74 North Washington Battle Creek, MI 49017-3084				

DD FORM 2051 REVERSE, JUN 90

# CHAPTER 1 APPENDIX 7-1-B

#### PREPARATION of NATO FORM AC/135-NR-2

When North Atlantic Treaty Organization governments require assignment of CAGE Codes for firms located in the United States, NATO Form AC/135-NR-2 will be submitted with the A portion completed as shown in the following example. DLIS will complete the B portion as shown and return to the requesting Agency.

#### Part A

Block	Instructions
A1	Indicate the code of the requesting NCB or NAMSA (e.g. ZX).
A2	a) Indicate date and the national reference (optional).
	b) Indicate control number (mandatory) composed of:
	-MOE Code of the requesting NCB/NAMSA (e.g. ZX);
	-the current Julian date (e.g. 97330) and
	-a serial number (e.g. 01, 02, 03,), the use of digital and alphabetical characters being allowed.
A3	Indicate the code of the assigning NCB (e.g. YB).
A4	Checkmark the appropriate box.
A5	Checkmark the appropriate box.
A6	The maximum information must be transmitted: the exact name, the geographical and/or postal address and the telephone must be stated. Any known abbreviations of the name of the firm/organization are also to be indicated. If the name includes "Department of", "Division of" "Branch of", etc. of a parent company, include this as part of the address. The requesting country will assume that the "manufacturer" or "organization" meets the definition given in Sub-Section 241.
A7	If firm/organization previously operated under another name or another address specify previous name and address.

#### Part A

Block	Instructions
A8	The Government Contract Number (e.g. MIL-D-70237) and/or any other purpose as the materiel to be identified should be stated. List at least two typical identifying sets of numbers, letters or other symbols furnished by the manufacturer/organization to be coded and state name(s) of the item(s).
A9	Any information available about known production should be given in order to facilitate the work of assigning Bureau. The offical address of the head office, as well as the address of the factory actually producing the items in question, should be given here.
A10	Signature of the responsible authority.
Part B	
B1	Indicate the code of the assigning NCB (e.g. YB).
B2	Indicate date and national reference (optional) and control number (mandatory) of the requesting NCB (the same entries as used in block A2).
B3	Indicate the code of the requesting NCB or NAMSA (e.g. ZX).
B4	Insert the appopriate NCAGE Code if assigned, otherwise leave blank and state reasons under Block B6.
B5	Indicate the exact name, full address and telephone number of the manufacturer/organization as they appear or will appear on the H4 handbook.
B6	Any other information, in particular the correct name and address of the divisions or branches of a main manufacturer/organization with respect to a parent or affiliated companies, should also be given. If necessary, a separate sheet should be used.
B7	Signature of responsible authority.

#### NATO CODIFICATION SYSTEM - SYSTEME OTAN DE CODIFICATION

# REQUEST FOR A NATO COMMERCIAL AND GOVERNMENT ENTITY CODE (NCAGE) / DEMANDE D'UN CODE ORGANISME COMMERCIAL OU GOUVERNEMENTAL OTAN (NCAGE)

PAR	RT A		
1	FROM / DE	3 TO / POUR	
2	REFERENCE : DATE		
	•		
4	REQUESTED NCAGE CODE FOR / CODE NO	CAGE DEMANDE	
	Manufacturer / Vendor /	NATO or International Organisation / Provider of Services /	
	Fabricant Distributeur	Organisation OTAN ou Internationale Fournisseur de Services	
5	PRIORITY / PRIORITE		
	Emergency /	Accelerated / Routine / Routine	
	Urgente Urgente	Acceleree Routine	
6	NAME AND ADDRESS / NOM ET ADRESSE		
NA1	Manufacturer Name / Nom de Fabricant		
STI	Street /		
POB	Rue P.O. Box /		
	Boîte Postale		
CIT	City / Ville		
STE	State or Province (US and Canada only) /		
	Etat ou Province (seulement EU et Canada)	 	
STT	State or Province (other than US and Canada) / Etat ou Province (autres que EU et Canada)		
CTR	Country /	:\	
PCC	Pays Postal City /		
rcc	Ville Postale		
PSC	Postal Code /		
PCS	Code Postal POB Postal Code /		
	Code Postal BP		
TEL	Tel. No.∕ N° Tél		
TLX	Telex No./		
FAX	¦ № Telex		
FAA	Nº Télécopieur		
VTX	Videotex No./ N° Vidéotex		
BOX	! Telebox No./		
	Nº Courrier Electronique		
PSS	Packet Switched Service No. / N° Réseau Commuté de Paquets		
INF	Internal National Information /	1	
Щ	Information Nationale Interne	1	
7	FORMER NAME AND NCAGE CODE / ANCI	ENS NOM ET CODE NCAGE	
	THOUGHT PREFERENCE MED (DEDG (NAM (ED)		
8	TYPICAL REFERENCE NUMBERS / NUMER	OS DE REFERENCE TYPIQUES	
9	REMARKS / REMARQUES	10 SIGNATURE	
۲		BIOWATORE	
NATO	O FORM AC/135 No. 2	FORMULAIRE OTAN AC/135	Nº 2

#### NATO CODIFICATION SYSTEM - SYSTEME OTAN DE CODIFICATION

# REQUEST FOR A NATO COMMERCIAL AND GOVERNMENT ENTITY CODE (NCAGE) / DEMANDE D'UN CODE ORGANISME COMMERCIAL OU GOUVERNEMENTAL OTAN (NCAGE)

PART B						
1 FROM / DE		3	TO / POUR			
			l			
2 REFERENCE : DATE						
			· · · · · · · · · · · · · · · · · · ·			
4 ASSIGNED NCAGE CODE /	5 REVISED NAMI					)/
CODE NCAGE ATTRIBUE	NOM ET ADRES	SSE RI	EVISES COMM	IE INDIQ	QUE	
]						
						•
!						
6 REMARKS / REMARQUES					7	SIGNATURE
				- 1		
NATO FORM AC/135 No. 2					FOR	MULAIRE OTAN AC/135 N° 2

# ESTABLISHMENT/MAINTENANCE OF PROVISIONING SCREENING MASTER ADDRESS TABLE (PSMAT)

#### 7.2.1 Registration in the PSMAT

- a. These instructions cover the procedures to be used to register activities as users of the Defense Logistics Information Service provisioning screening services and to record such activities and their requirements in the DLIS Provisioning Screening Master Address Table. (See volume 10, table 23)
- b. Ten days prior to the initial submittal of LSF or LSR search transactions, the submitters and receivers requirements and address data must be registered in the PSMAT under an applicable Destination Code, Screening. Only a Government Service or Agency is authorized to establish and maintain registrations in the PSMAT. Non-Government activities (private sector) must submit their requests through the authorizing Government agency or Service activity. DLIS-S will advise the submitter as soon as the registration is effected. If the submitter does not receive such notification, a follow-up inquiry will be made prior to the submission of screening requests.
- c. A letter of registration is required as the authorization for activities and their contractors to participate in the DLIS provisioning screening program and to provide for their registration in the DLIS PSMAT. The letter of registration must be submitted to DLIS by the responsible Government activity and will contain the following information:

Type of input (establish, change, delete)
Recipients complete mailing address(es)
Media of output (see volume 10, table 10)
Alternate media of output (electronic data transfer) (see volume 10, table 10)
Activity Code, Screening (DRN 0177)
Destination Code, Screening (DRN 3890)
Service Code (see volume 10, table 42)
Communications Routing Indicator Code (electronic data)
Authorization for Catalog Management Data (CMD)

Submitters who require the return of provisioning screening results by mail will submit a letter of registration. (See <u>appendix 7-2-B</u>) and Submitters who will receive provisioning screening results electronically will establish their registration through the submission of a letter of registration. (See <u>appendix 7-2-A</u>).

The letter of registration will be addressed to:

Commander
Defense Logistics Information Service
ATTN: DLIS-S
Federal Center
74 WASHINGTON AVE N
Battle Creek, MI 49017-3084

- d. Notification to Contractors. When a contractor is to be established as a registrant in the DLIS PSMAT, the responsible Government activity will furnish the contractor the destination and the activity codes prior to the preparation of provisioning screening requests by the contractor. This will be done no later than 15 days after the receipt of a request for these codes from the contractor.
- e. Multiple Addressees. When multiple output of screening results is requested, all addressees registered under the applicable destination code will receive the results of screening. When single output is requested, only the first addressee in the register (under the applicable destination code) will receive the results.

#### 7.2.2 Maintenance of the DLIS Master Address Table

It will be the responsibility of the Government activity having cognizance of the screening requirements of the contractors to update and purge the PSMAT according to current requirements. However; if it becomes apparent that the PSMAT address(es) requires an update, DLIS-SBA will contact the service agency and/or contractor. If the contact is unsuccessful, then DLIS-SBA will have the authority to delete the address(es) from the PSMAT. Special attention should be directed to deletion of addresses and destination codes upon completion of contractual obligations or Service/Agency requirements.

#### 7.2.3 Required Information

a. Type of Input

Establish. Input used to establish a new destination code and related address information, or to add a new recipient's address information to an existing destination code in the DLIS Master Address Table.

Change. Input used to change address information or output media in an existing address and destination code.

Delete. Input used to delete a destination code and all related address information or delete an address from a destination code.

- b. Activity Code, Screening (DRN <u>0177</u>). The two-position code designating the submitter or responsible Government activity (as listed in, but not restricted to, volume 10, table <u>104</u>; e.g., TG Warner Robins AFB, KE Aviation Supply Office, etc.).
- c. Destination Code, Screening (DRN <u>3890</u>). The five-position code which identifies the recipient(s) of provisioning screening results. It may be any combination of alphanumerics

as designated by the submitter. For a government activity submitter, it must contain at least two alpha characters in order to preclude duplication of a valid CAGE/NCAGE. The destination code for a contractor may consist of, but is not restricted to its assigned CAGE/NCAGE.

- d. Service Code, Provisioning Screening Destination Table (DRN <u>0264</u>). A two-position numeric code designating the Military Service component or Civil Agency authorizing the submission of provisioning screening requests. Used internally by DLIS only for statistical purposes. (See volume 10, table <u>42</u>.)
- e. Output Mode/Media Code (DRN <u>3740</u>). A two-position alphanumeric code which designates the mode and media by which the output data is desired by the recipients of provisioning screening results.
- f. Alternate Media of Output Code (DRN <u>3740</u>). The output mode and media code in this position designates the alternate mode and media of output desired when the results of screening exceed electronic data output limitation (See DIC KEC) or when there is a degradation of electronic transmission. (See volume 10, table <u>23</u>, note 3.)
- g. Provisioning Screening Receiver's Address (DRN <u>0232</u>). The multiple line information in the exact format required to mail the output product to the recipient(s) of provisioning screening data. A separate line will be used for each line of address information as set forth in the previous instruction. An attention line if used, should be placed before the street and city address information and should be an office symbol, room number, etc. A person's name should not be used unless absolutely necessary.
- h. CMD Authorization Code (DRN <u>0759</u>). A one-position numeric code which indicates whether or not a recipient is authorized to receive Catalog Management Data. Code 1 indicates the recipient is authorized, Code 2 indicates he is not.

#### **APPENDIX 7-2-A**

# SAMPLE LETTER OF REGISTRATION (ELECTRONIC DATA TRANSMISSION USERS)

XXXXXXXXXX XXXXXXXXX
XXXXXXXXXX
XXXXXXXXXX
Commander Defense Logistics Information Service Directorate of Logistics Data Management ATTN: DLIS-S (Provisioning and Other Preprocurement Screening) Federal Center Battle Creek, MI 49017-3084
SUBJECT: Request for Registration as an Electronic Data Recipient of Provisioning and Other Preprocurement Screening Results
Following information pertinent to registration as an electronic data recipient of results of provisioning and other preprocurement screening is being furnished in accordance with volume 7, paragraph 7.2.1.c, DoD 4100.39-M.
Input (Establish, Change, Delete) Activity Code - TG Destination Code - 12345 Service Code - 03 Media of Data - M2 (Fixed Length Record Format Record) Alternate Media of Ouput - M8 (Magnetic Tape) Address Information
— — —
Communication Routing Indicator Code - XX (per JANAP 128) XX
This contractor is/is not authorized to receive Catalog Management Data (CMD).
(signed)
<del>_</del>

## APPENDIX 7-2-B

XXXXXXXXX XXXXXXXXX

# SAMPLE LETTER OF REGISTRATION (EXCEPT ELECTRONIC DATA TRANSMISSION USERS)

XXXXXXXXX	XXXXXXXXX
Directorate of Logi	Information Service stics Data Management ovisioning Screening) 9017-3084
SUBJECT: Reques Preprocurement So	t for Registration as Recipient of Provisioning and Other creening Results
The following in	formation is furnished pursuant to the above subject request:
Activity C Destination Service Construct Months Output Months Point of Construction Telephone FAX Num	n Code - 12345 ode - 03 edia Code - L1 (1 Part Listing) ontact: Number:
This contractor is/i	s not authorized to receive Catalog Management Data (CMD).
	(signed)